

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Agere Systems Inc.Application No./Patent No.: 09/448,856 Filed/Issue Date: November 23, 1999Entitled: SiC NMOSFET FOR USE AS A POWER SWITCH AND A METHOD OF MANUFACTURING THE SAMEAgere Systems Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

Address: 555 Union Boulevard, Allentown, PA 18109

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Inventor(s) To: Lucent Technologies, Inc.The document was recorded in the United States Patent and Trademark Office at Reel 010429, Frame 0001, or for which a copy thereof is attached.2. From: Lucent Technologies, Inc. To: Agere Systems Guardian Corp.

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: Agere Systems Guardian Corp. To: Agere Systems Inc.

The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

12/10/02
Date

Charles W. Gaines

Typed or printed name

Charles W. Gaines
Signature

Attorney for Applicant

Title

FINANCE SECTION

DEC 16 AM 10:30

OFFICE OF PUBLIC RECORDS

RECEIVED
DEC 20 2002
10 28 AM MAIL ROOM

DOCKET



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

MARCH 07, 2000

PTAS

HITT CHWANG & GAINES, P.C.
GLENN W. BOISBRUN
275 WEST CAMPBELL ROAD, SUITE 225
RICHARDSON, TX 75080



101221781A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/23/1999

REEL/FRAME: 010429/0001
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LOTFI, ASHRAF W.

DOC DATE: 11/22/1999

ASSIGNOR:

TAN, JIAN

DOC DATE: 11/15/1999

ASSIGNEE:

LUCENT TECHNOLOGIES, INC.
600 MOUNTAIN AVENUE
MURRAY HILL, NEW JERSEY 07974-0636

SERIAL NUMBER: 09448856
PATENT NUMBER:

FILING DATE: 11/23/1999
ISSUE DATE:

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

RECEIVED
DEC 20 2002
TC 2800 MAIL ROOM

12-14-1999

FORM PTO-1619A

Expires 06/30/99
OMB 0651-0027U.S. Department of Commerce
Patent and Trademark Office
PATENT

101221781

MRD

11.23.99

LOTFI 22-2

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies)

Submission Type

- ☒ New
- ☐ Resubmission (Non-Recordation)
Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☒ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☐ Other
- U.S. Government**
(For Use ONLY by U.S. Government Agencies)
- ☐ Departmental File ☐ Secret File

Conveying Party(ies)☐ Mark if additional names of conveying parties attached

Name (line 1) Ashraf W. Lotfi

Execution Date
Month Day Year
11 22 1999Name (line 2) **Second Party**

Name (line 1) Jian Tan

Execution Date
Month Day Year
11 15 1999Name (line 2) **Receiving Party**☐ Mark if additional names of receiving parties attached

Name (line 1) Lucent Technologies, Inc.

Name (line 2) a Corporation of Delaware

Address (line 1) 600 Mountain Avenue

Address (line 2)

Address (line 3) Murray Hill New Jersey 07974-0636

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name Address (line 1) Address (line 2) Address (line 3) Address (line 4)

RECEIVED
DEC 20 2002
TC 2800 MAIL ROOM

12/14/1999 TTON11 00000048 122325 09448856

FOR OFFICE USE ONLY

11 FC:581 40.00 CH

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Correspondent Name and Address

Area Code and Telephone Number (972) 480-8800

Name Glenn W. Boisbrun

Address (line 1) Hitt Chwang & Gaines, P.C.

Address (line 2) 275 West Campbell Road, Suite 225

Address (line 3) Richardson, Texas 75080

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

5

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

N/A						

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year
11 22 1999

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT PCT PCT
PCT PCT PCT

Number of Properties

Enter the total number of properties involved.

1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:
Deposit Account

Enclosed ☐ Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

12-2325

Authorization to charge additional fees:

Yes ☒ No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Glenn W. Boisbrun

Name of Person Signing

Signature

11/23/99

Date

ASSIGNMENT

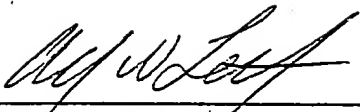
For value received, We, Ashraf W. Lotfi, of Bridgewater in the County of Somerset and State of New Jersey, and Jian Tan, of Bridgewater in the County of Somerset and State of New Jersey, hereby sell, assign and transfer to Lucent Technologies Inc., a corporation of the State of Delaware, having an office at 600 Mountain Avenue, Murray Hill, New Jersey 07974-0636, U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to "SiC NMOSFET FOR USE AS A POWER SWITCH AND A METHOD OF MANUFACTURING THE SAME" described in an application for Letters Patent of the United States, executed by us of even date herewith, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to Lucent Technologies Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Lucent Technologies Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to Lucent Technologies Inc. in the United States and in all countries foreign to the United States, or to such nominees as Lucent Technologies Inc. may designate.

We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.




Ashraf W. Lotfi

STATE OF New Jersey
COUNTY OF Union

§
§
§

On this 22nd day of November, 1999, before me personally came Ashraf W. Lotfi, to me known to be the individual described herein and who executed the foregoing instrument, and acknowledged execution of the same.



Notary Public

My Commission Expires:

SHEILA R. COLE
A NOTARY PUBLIC OF NEW JERSEY
My Commission Expires 10/18/2000

Jian Tan
Jian Tan

STATE OF New Jersey
COUNTY OF Union

§
§
§

On this 15th day of November, 1999, before me personally came Jian Tan, to me known to be the individual described herein and who executed the foregoing instrument, and acknowledged execution of the same.

Sherla R. Cole
Notary Public

My Commission Expires:

SHERLA R. COLE
A NOTARY PUBLIC OF NEW JERSEY
My Commission Expires 10/18/2000

Lucent Technologies, Inc.
600 Mountain Avenue (Room 3C-512)
P.O. Box 636
Murray Hill, New Jersey 07974-0636

EXECUTION COPY

PATENT ASSIGNMENT

by and between

LUCENT TECHNOLOGIES INC.

and

AGERE SYSTEMS GUARDIAN CORP.

Dated as of January 30, 2001

PATENT ASSIGNMENT

THIS PATENT ASSIGNMENT (this "Assignment"), effective as of January 30, 2001 (the "Effective Date"), is by and between Lucent Technologies Inc., a Delaware corporation, with offices at 600 Mountain Avenue, Murray Hill, New Jersey 07974, United States of America, ("ASSIGNOR") and Agere Systems Guardian Corp., a Delaware corporation, with offices at 555 Union Boulevard, Allentown, PA 18109, United States of America ("Agere Systems Guardian").

RECITALS

A. WHEREAS, the Board of Directors of ASSIGNOR has determined that it is in the best interests of ASSIGNOR and its stockholders to separate ASSIGNOR's existing businesses into two independent businesses;

B. WHEREAS, ASSIGNOR presently owns or controls certain patents, patent applications, and invention submissions listed in the attached Appendices A and B (hereinafter "TRANSFERRED PATENTS") and;

C. WHEREAS, in furtherance of the foregoing separation, ASSIGNOR desires to transfer, assign, convey, deliver and vest all of its interests and rights in TRANSFERRED PATENTS for all countries, jurisdictions and political entities of the world, to and in Agere Systems Guardian;

NOW, THEREFORE, in consideration of the premises and for other good and valid consideration, the receipt and sufficiency of which are hereby acknowledged, the parties, intending to be legally bound, agree as follows:

ASSIGNOR, subject to existing rights and licenses of third parties, does hereby assign, convey, transfer and deliver, and agrees to assign, convey, transfer and deliver to Agere Systems Guardian, its successors, assigns and legal representatives or nominees, ASSIGNOR's entire right, title and interest, for all countries, jurisdictions and political entities of the world, along with the right to sue for past infringement, to all TRANSFERRED PATENTS listed on Appendices A and B, and corresponding counterpart foreign patents and patent applications, with respect to which, and to the extent to which, ASSIGNOR now has or hereafter acquires the right to so assign, convey, transfer and deliver. Agere Systems Guardian recognizes that ASSIGNOR holds only bare legal title to the TRANSFERRED PATENTS listed in Appendix A (which lists the United States Patents and patent applications previously exclusively licensed to Lucent Technologies Microelectronics Guardian Corp.).


ASSIGNOR and ASSIGNEE recognize that the patents listed in Appendices A and B may inadvertently include patents that are owned by various subsidiaries of ASSIGNOR, including Agere, Inc., Ortel Corporation, Optimay Corporation, Herrmann Technology, Inc., and Enable Semiconductor, Inc. Ownership of such patents shall not be affected by this Patent

Assignment, and ASSIGNEE agrees that any such patents shall be deemed deleted from Appendices A and B.


ASSIGNOR agrees that, upon request it will, at any time without charge to Agere Systems Guardian, but at Agere Systems Guardian's expense, furnish all necessary documentation relating to or supporting chain of title, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient for vesting title to TRANSFERRED PATENTS in Agere Systems Guardian, its successors, assigns and legal representatives or nominees; including but not limited to any acts which may be necessary, desirable or convenient for claiming said rights and for securing and maintaining patents for said inventions in any and all countries and for vesting title thereto in Agere Systems Guardian and its respective successors, assigns and legal representatives or nominees.

IN WITNESS WHEREOF, the parties have caused this PATENT ASSIGNMENT to be executed by their duly authorized representatives as of the Effective Date.

LUCENT TECHNOLOGIES INC.

By: 
Daniel P. McCurdy
President, Intellectual Property Business

AGERE SYSTEMS GUARDIAN CORP.

By: 
Fred M. Romano
President

ACKNOWLEDGMENTS

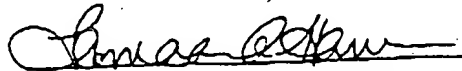
STATE OF NEW JERSEY)

: ss:

COUNTY OF SOMERSET)

I CERTIFY that on January 30, 2001, Daniel P. McCurdy personally came before me and this person acknowledged under oath, to my satisfaction that:

- a.) this person signed, sealed and delivered the attached Patent Assignment as President - Intellectual Property Business of Lucent Technologies Inc.; and
- b.) this Patent Assignment was signed and made by Lucent Technologies Inc. as its voluntary act and deed by virtue of authority from its Board of Directors.



Name

TAMORA ANNE HANNA

Notary Public

Notary Public of New Jersey

My Commission Expires

Registered in Hunterdon County

[Notarial Seal]

My Commission Expires March 25, 2002

STATE OF FLORIDA)

: ss:

COUNTY OF ORANGE)

I CERTIFY that on January 31, 2001, Fred M. Romano personally came before me and this person acknowledged under oath, to my satisfaction that:

- a.) this person signed, sealed and delivered the attached Patent Assignment as Vice President of Agere Systems Guardian Corp.; and
- b.) this Patent Assignment was signed and made by Agere Systems Guardian Corp. as its voluntary act and deed by virtue of authority from its Board of Directors.

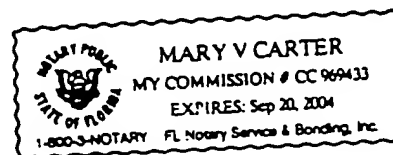


Name

Notary Public

My Commission Expires:

[Notarial Seal]



APPENDIX B (continued)
Transferred Patents

Case Nam	Filing Date	Issue Date	Patent No.	Serial No.
Lotfi 20-35	10/6/1999			09/413605
Lotfi 22-2	11/23/1999			09/448856
Lothian 8-24-2	11/17/1997		08/971427	
Lou 11-5-26	2/16/1999			09/250743
Lou 13-13	9/3/1999			09/390389
Lou 14-6	9/3/1999			09/390386
Lou 4-23	7/22/1997		08/898441	
Lou 6-3-21	12/2/1998			09/203663
Lou 8-7-23	7/15/1999			09/353669
Lou 9-24	8/11/1999			09/372706
Low 5	11/5/1999			09/434076
Lui 1-7-2-1	12/23/1997		08/996594	
Lui 2-8-1	7/24/1997	6/6/2000	6072839	
Lui 3-1-9	9/24/1997	7/25/2000	08/936316	6094739
Lukoff 1	5/27/1999			09/321002
Lum 1-8-1	9/19/1994	10/31/1995	D363721	
Luo 1-3	9/16/1998	7/18/2000	09/154276	6091627
Luo 2	9/18/1998		09/157276	
Luo 4	11/9/1998			09/188241
Luo 5	11/3/1998			09/184742
Luo 8	2/4/1999			09/244040
Luo 9-3	12/17/1999			09/466054
Luther 13-14	1/22/1999			09/235976
Lytle 15-4-18	12/3/1999			09/454909
Lytle 17-5-3-18-11-21-14	4/5/2000			09/543370
Lytle 18	9/21/2000		09/667046	
Lytle 9-8-4	12/3/1999			09/454003
Ma 10-4	12/7/1999			09/456839
Ma 12-7-5	7/28/2000		09/629707	
Ma 14-40	6/25/1997		08/881994	
Ma 15-41	9/5/1997	6/13/2000	6074933	
Ma 19-28-2-44	11/24/1997		08/977318	
Ma 20	11/20/1997		08/974987	
Ma 25-55	10/1/1998			09/164296
Ma 26-58	6/17/1999			09/334911
Ma 28-4-13	1/15/1999			09/232752
Ma 3	1/30/1998		09/016275	
Ma 31-64	6/16/1999			09/334491
Ma 3-26	4/29/1996		08/641155	
Ma 37-91	4/5/1999			60/127757
Ma 39-97	6/17/1999			09/334977
Ma 41-8	8/16/1999			09/375150
Ma 50-143	1/20/2000			09/488321
Ma 56	7/25/2000		09/625129	
Ma 57-12	8/29/2000		09/649934	
Ma 7-1	8/26/1999			09/383638
Ma 9-3	6/1/1999			09/322920
Maerkle 1-50	10/13/2000		09/687632	
Manchanda 13-12-7	7/24/1997		08/899735	
Manfra 1-17-13-45	7/29/1999			09/363527
Manfra 2-18-14-54	12/23/1999			09/472331
Marenco 1-1	7/31/1997		08/903588	
Marshall 2-4	8/19/1999			09/377096
Marszalek 1-6-77-2-23	6/5/1998		09/092380	
Martin 13-9-6	4/23/1999			09/298792
Martin 2	3/31/1998		09/052074	
Martin 3-1	11/17/1997		08/971430	
Martin 4	9/14/1998	3/21/2000	6040726	
Martin 5	12/13/1999			09/460169
Martinian 1-51	11/7/2000		09/707686	

CERTIFICATE OF OWNERSHIP AND MERGER

OF

Agere Systems Guardian Corp.
(a Delaware corporation)

INTO

Agere Systems Inc.
(a Delaware corporation)

**UNDER SECTION 253 OF THE GENERAL
CORPORATION LAW OF THE STATE OF DELAWARE**

Agere Systems Inc., a corporation organized and existing under the laws of Delaware ("Corporation"), **DOES HEREBY CERTIFY:**

FIRST: The Corporation is the owner of all of the outstanding shares of common stock of Agere Systems Guardian Corp., which is also a business corporation of the State of Delaware.

SECOND: On August 22, 2002 the Subsidiary Governance Committee of the Board of Directors of the Corporation adopted the following resolution to merge Agere Systems Guardian Corp. into the Corporation:

RESOLVED that Agere Systems Guardian Corp., a Delaware corporation, shall be merged with and into Agere Systems Inc., a Delaware corporation, with Agere Systems Inc. being the surviving corporation, and Agere Systems Inc. shall thereupon assume all of the obligations of Agere Systems Guardian Corp."

THIRD: That the merger authorized hereby shall become effective as of 9:00 a.m. Eastern Standard Time on August 31, 2002.

Executed on August 22, 2002

AGERE SYSTEMS INC.

By Paul Bento
Paul Bento, Vice President

Delaware

PAGE 1

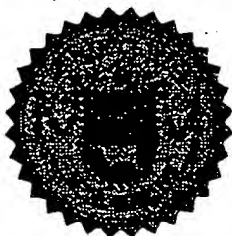
The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF OWNERSHIP, WHICH MERGES:

"AGERE SYSTEMS GUARDIAN CORP.", A DELAWARE CORPORATION,
WITH AND INTO "AGERE SYSTEMS INC." UNDER THE NAME OF "AGERE SYSTEMS INC.", A CORPORATION ORGANIZED AND EXISTING UNDER THE LAWS OF THE STATE OF DELAWARE, AS RECEIVED AND FILED IN THIS OFFICE THE TWENTY-NINTH DAY OF AUGUST, A.D. 2002, AT 9 O'CLOCK A.M.

AND I DO HEREBY FURTHER CERTIFY THAT THE EFFECTIVE DATE OF THE AFORESAID CERTIFICATE OF OWNERSHIP IS THE THIRTY-FIRST DAY OF AUGUST, A.D. 2002.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE NEW CASTLE COUNTY RECORDER OF DEEDS.



Harriet Smith Windsor

Harriet Smith Windsor, Secretary of State

3268412 8100M

AUTHENTICATION: 1959517

020545223

DATE: 08-29-02